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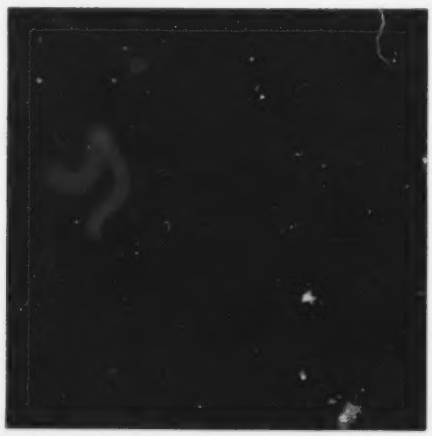

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UNDP Programming Manual

Corrigendum*

After the Foreword, *insert* the following memorandum:

* The present corrigendum contains three parts: a memorandum from the Associate Administrator; a section on transitional arrangements; and a glossary.

00-67539

The Associate Administrator **United Nations Development Programme**
Sustainable human development

TO: All UNDP Staff **DATE:** 30 April 1999

FROM: Zéphirin Diabré

SUBJECT: Programming Manual

I am very pleased to announce that the new UNDP Programming Manual is now available in electronic form. It may be read or retrieved from the OSG intranet site (http://intra.undp.org/osg). It will be available to **all** country offices, when they receive the CD-ROM of the UNDP intranet next month. A limited number of hard copies will be distributed to country offices and other users shortly, followed by translations into our working languages.

Streamlining

The Programming Manual is not a simple update of the old PPM. It is the result of a major two-year project in which the programming policies and procedures have been carefully reviewed, many elements eliminated, and new ones added. The text has been completely re-written in a user-friendly style and format. Moreover, the total length is just one-third of the old PPM.

Flexibility with accountability

Consistent with UNDP 2001 principles, the manual makes it clear where the responsibility lies for taking action, whether the action is in a country office or at headquarters. In this way country offices and other operational units will be able to exercise delegated authority and ensure that they are acting correctly on matters for which they are accountable. Moreover, by limiting the manual to **essential** policies and procedures, the manual allows country offices greater flexibility in applying procedures in ways that are responsive to local conditions.

The changing environment

Even as this manual is issued, developments are occurring in the way we do our business. For example, the UNDAF and the CCA are becoming integral parts of our programming process, as is the Strategic Results Framework. These developments have been captured as far as possible.

One United Nations Plaza • New York, NY 10017

Electronic format

The use of the electronic format offers several benefits: we can reduce the expenditure on preparing and shipping over 2,000 binders to holders of the Programming Manual around the world. Equally important is that we can update the manual regularly at minimal cost. This responds to the concern that many of you have expressed about manuals not having been kept up-to-date. We are committed to keeping the manual up-to-date and indeed improving it wherever possible through regular revisions.

Transitional arrangements

The effective date for applying the procedures in the manual is 1 May 1999. However, there will be a transition period in which some of the old procedures will remain in effect. Details of the transition are set out in the attached note.

If you have any questions or suggestions regarding the new Programming Manual, please contact the Operations Support Group. This can be done through e-mail at the following address: osg.programming.manual@undp.org.

Insert the following text after chapter 9:

PROGRAMMING MANUAL – TRANSITIONAL ARRANGEMENTS

CHAP-TER	TOPIC	NEW PROCEDURE	TRANSITIONAL ARRANGEMENT
1.	-	No transitional issue	
2.	Preparing a CCF	Key steps are preparation of CCA, UNDAF and CCF in that sequence. Advisory note not normally required.	Ongoing CCFs are not affected. If a new CCF is due, proceed as follows: (i) Where there is neither a CCA nor an UNDAF, an Advisory Note must be prepared and processed in accordance with the procedures in Chapter II of the June 1996 Programming Manual. (ii) Where there is a CCA but no UNDAF, the Advisory Note is not required. It is replaced by the CCA together with a letter from UNDP to the Government indicating the role that UNDP envisages playing within the future UNDAF. This letter must be prepared in consultation with headquarters and copied to the United Nations country team. The above procedures remain in effect **until further notice**.
2.	Annex 2F: Considerations for Quality Programming	Annex 2F to be used in the appraisal of all programme documents, including CCFs. It is used by LPACs, BPACs and PMOC.	Annex 2F is used in reviewing draft CCFs received at headquarters **from 1 May 1999 onwards**. It should accordingly be used by the LPAC with immediate effect.
3.	Allocation of TRAC-2 Resources	New CCFs will contain more information on expected results: also country and annual reviews (see chapter 7) will be taking place. This information will enable the regional bureau and PMOC to assess programme quality and make TRAC-2 recommendation. Programme outlines no longer needed with new CCFs.	Programme outlines must be prepared if the CCF follows the 1996 format or no country review has taken place. For programme outline procedures, see the Associate Administrator's memo dated 17 March 1997. The amended TRAC-2 assignment procedures apply to all new CCFs and extensions of current CCFs, **effective May 1999.**
3.	Cost-sharing	In CCF cost-sharing (formerly programme cost-sharing) there are new procedures for managing resources (the cost-sharing account)	**Already in effect**.

PROGRAMMING MANUAL – TRANSITIONAL ARRANGEMENTS

CHAP-TER	TOPIC	NEW PROCEDURE	TRANSITIONAL ARRANGEMENT
4.	Allocation of TRAC-3 Resources	The maximum sum that the UNDP resident representative can approve under Category II (sudden crisis) is $100,000. (Reduced from $200,000).	**Already in effect**.
4. and 5.	Programme and project formulation: →Participation →Results →Environment	Formulation must be an inclusive, participatory process Clear results, and related indicators of progress and success, must be determined. The Environment Management Guidelines are to be used.	All new programmes and projects to be prepared in line with these processes **effective end June at the latest**. Ongoing programmes and projects should be revised where necessary to ensure that results are clearly stated, **by end-1999** at the latest. **Already in effect**.
4. and 6.	Micro-capital grants	Sections 4.3.5 and 6.4.6 will contain criteria and procedures for including micro-capital grants in programmes and projects. (This mainstreams the micro-start procedures).	The procedures will be issued shortly. Meanwhile Micro-Start procedures apply.
4. and 5	Equipment	Full authority delegated to the resident representative. Procedures are included (section 5.5.3) to protect the Administrator's accountability where equipment components are large.	Large equipment components to be reviewed in country offices **from May 1999**. Pending requests for headquarters' clearance of large equipment components will be processed by headquarters.
5.	Programme support documents (PSDs) and project documents	Formats for PSDs and project documents are streamlined. PSD format is supported by PSD software version 2.0.	See programme and project formulation (chapter 4 above). New formats to be used **from July 1999** onwards. Ongoing PSDs and project documents may remain in old format.
5.	Appraisal and approval of programmes and projects	The LPAC and the use of the "Considerations for Quality Programming" are mandatory. Section 5.5.2 states the arrangements for delegating authority to resident representatives, and the limits on this authority. Chapter 5 includes the UNDP policy on disclosure of information.	**Effective May 1999**.

PROGRAMMING MANUAL – TRANSITIONAL ARRANGEMENTS

CHAP-TER	TOPIC	NEW PROCEDURE	TRANSITIONAL ARRANGEMENT
5.	Budget lines	Line 15 is now used for monitoring and evaluation only.	Adequate provisions under line 15 to be made in all new PSDs and project documents; also in revisions to ongoing PSDs and project documents, **by 31 December 1999**, if existing M&E arrangements are inadequate.
		There are several other minor changes in budget lines. For example, all international personnel are now termed "consultants". The term "expert" is discontinued. OPAS experts are eliminated.	The budget-line categories are to be applied in all new documents, **effective May 1999**. Old documents do not need to be altered, unless this is needed to ensure compliance with PFMS and FIM.
6.	Execution	The distinction between execution and implementation is dropped. An institution will be designated to carry out the programme or project, or it may contract others to carry out specified activities.	For ongoing PSDs and project documents, no change is necessary. New documents should reflect the simplified arrangements, **effective May 1999**. The new procedures for NGO Execution and National Execution replace those issued on September 1997 and March 1998, **effective May 1999.**
6.	Direct payments	The separate Request for Direct Payment Form is discontinued.	The form may continue to be used **until further notice**, if the parties prefer to do so.
6.	Equipment Inventory	The lower limit for non-expendable equipment is $1,000 instead of $400.	Applies to all newly purchased items of equipment, **effective May 1999**. No need to alter existing inventories.
6.	Country office support, capacity-building and exit strategy	Where the UNDP country office provides support services under NEX or other management arrangements, capacity-building measures and an exit strategy must be worked out with the government.	Already in effect with the 1998 NEX procedures.
	Micro-credit	See chapter 4 above.	See chapter 4 above.

PROGRAMMING MANUAL – TRANSITIONAL ARRANGEMENTS

CHAP-TER	TOPIC	NEW PROCEDURE	TRANSITIONAL ARRANGEMENT
7.	Annual programme/ project progress report (APR)	Revised. Now includes a table for recording progress towards results, supporting the Strategic Results Framework (SRF).	**Effective May 1999.**
	Country and annual reviews and reports	A more comprehensive and in-depth country review process has been instituted to replace the mid-term review of the country programme, to ensure greater accountability and better assessment of country office performance. The annual review and report supports delegation of authority and feeds into the corporate level results-oriented annual report (ROAR).	**Effective May 1999.**
8.	Global and Regional Programming	No transitional issue.	
9.	Support for the Resident Coordinator (SRC)	No transitional issue.	

Insert the following glossary immediately before the Index:

GLOSSARY

A

Accountability: the responsibility for the results of the discharge of authority and official duties, including duties delegated to a subordinate unit or individual.

Accounting system: a reporting and recording system containing books, records and controls sufficient to ensure the accuracy and reliability of programme or project financial information. This includes ensuring that the receipt and disbursement of UNDP funds are properly identified and that budgetary categories approved are not exceeded. The system must include the advances, expenditures and direct payments made by UNDP. The accounting system must also be kept current, with all ledgers and journals closed out at the end of each month.

Activities: actions in the context of programming, which are both necessary and sufficient for the production of a given output.

Administrative and operational services (AOS): an arrangement and reporting facility that partially reimburses eligible United Nations entities and international finance institutions for the costs associated with their procurement and delivery of inputs for UNDP-supported programmes and projects.

Advance authorization: the financial authorization issued by the resident representative to the institution managing the programme or project to incur expenditures and commitments for specific purposes related to programme activities and within specified limits, during a finite period.

Advance authorization of TRAC: the release of TRAC 1 resources in advance of the approval of a CCF by the Executive Board or of TRAC 2 resources by the Administrator. When the resource planning period extends beyond the last year of a current CCF and no new CCF has yet been approved, the RPF permits advance release of TRAC resources pending the finalization of the new CCF and TRAC 2 assignments.

Agency: an organization involved in partnership with UNDP in development assistance; generally a specialized organization of the United Nations system.

Agency support costs: See **Support costs.**

Agenda 21: an internally agreed plan of action for the next century, which was adopted in 1992 at the United Nations Conference on Environment and Development in Rio de Janeiro.

Aid coordination: the process by which a recipient Government integrates and plans international assistance in support of national goals, priorities and strategies.

Aid management: the process by which a recipient Government integrates external and internal resources in the implementation of its development programmes and activities.

Allocation: a financial authorization issued by the Administrator to an executing agent to incur expenditures and commitments for specific purposes related to UNDP programme activities and within specified limits, during a definite period.

Allotment: a financial authorization issued by the Administrator to an official or to a unit in the organization to incur obligations for specific purposes related to the biennial support budget and within specified limits, during a definite period.

Appraisal: the process of checking the quality of a programme or project design prior to approval.

Approval: the process of signing a project or programme support document, whereby UNDP funds are committed.

Audit: an examination or review that assesses and reports on the extent to which resources are being managed in accordance with policy and procedures.

Authority: the power to decide, certify or approve.

B

Backstopping: activities to review, support and advise on the smooth implementation of a programme or project.

Baseline data: data that describe the situation to be addressed by a programme or project that serve as the starting point for measuring changes in the situation and the performance of that programme or project.

Benchmark: an intermediate target to measure progress in a given period using a certain indicator.

Biennial support budget: the budget covering the costs of UNDP related to programme support, management and administration, and support to operational activities of the United Nations.

Budget lines and sublines: lines of a programme or project budget which reflect a budget allocation and its related use or source. These are used to identify by purpose, duration and estimated cost discrete inputs planned under each of the main budget components (e.g., personnel, equipment, training, contracts, miscellaneous).

C

Capacity: the knowledge, organization and resources needed to perform a function.

Capacity development: the process by which individuals, groups, organizations, institutions and countries develop, enhance and organize their systems, resources and knowledge, all reflected in their abilities, individually and collectively, to perform functions, solve problems and achieve objectives. Capacity development is also referred to as capacity-building or strengthening.

Carrying capacity: maximum population that a given ecosystem can support indefinitely under a given set of environmental conditions.

CEDAB (Central Evaluation DataBase): corporate institutional memory on UNDP programme and project evaluations. It is a source of information on lessons learned that can guide the formulation of new programmes and projects.

Civil society: individuals and groups, organized or unorganized, who interact in social, political and economic domains.

Civil society organizations: the multitude of associations around which society voluntarily organizes itself and which represent a wide range of interests and ties, from ethnicity and religion, through shared professional, developmental and leisure pursuits, to issues such as environmental protection and human rights.

Cluster evaluation: an evaluation of a set of related projects or programmes.

Co-financing: the generic term covering cost-sharing arrangements (or contributions), trust funds and parallel financing arrangements.

Combined delivery report (CDR): a report that contains all disbursements made for a programme or project under national execution and NGO execution. The UNDP Headquarters Accounts Section issues the CDR four times a year, 31 March, 30 June, 30 September and 31 December.

Common country assessment (CCA): a country-based process for reviewing and analysing the national development situation; and identifying key issues as a basis for advocacy, policy dialogue and preparation of the UNDAF. The findings from this exercise are described in a CCA document.

Conclusion: a reasoned judgement based on a synthesis of empirical findings or factual statements corresponding to a specific circumstance.

Contributions: cash or in-kind resources (the latter being in the form of goods or services) entrusted to UNDP by States Members of the United Nations and other entities. Contributions are used to cover UNDP programme activities as well as programme support, management and administration, and support to operational activities of the United Nations, including costs associated with the administration of contributions received for special purposes. (See also **Donations**.)

Contribution-in-cash: a payment made in cash to a programme or project.

Contribution-in-kind: a non-cash contribution in the form of goods and services made to a programme or project.

Cost-sharing: a co-financing modality under which contributions from other resources can be received as a supplement to regular resources for specific UNDP programme activities. Such activities must be consistent with the mandate of UNDP.

Country cooperation framework (CCF): a document that outlines UNDP cooperation in a country. The framework identifies the objectives for UNDP support to national plans and programmes that are consistent with the poverty-elimination goals of UNDP. It highlights the programme areas, the intended strategies and results, the management arrangements and the financial scope.

Country strategy note (CSN): a government document, prepared with the assistance of and in collaboration with United Nations organizations led by the resident coordinator. The CSN establishes a mutually agreed upon strategy for a coherent and coordinated United Nations-system response to needs identified by recipient countries in their plans, strategies and priorities. The CSN must state the priority areas for United Nations-system support for national development efforts and the principal

policy directions for operations and the respective roles of individual organizations of the United Nations system.

Credit: an activity that refers to lending to beneficiaries by an institution supported by a UNDP micro-capital grant.

D

Decentralization: the general term for a transfer of authority and/or responsibility for performing a function from high-level management to lower-level units.

Delegation: transferring the authority to plan and implement decisions concerning defined activities. Delegation of authority is not concomitant with the delegation of accountability.

Designated institution: the entity responsible for managing a programme or project.

Development objective: the national development objective or the objective of the national programme.

Development support services (DSS): an arrangement that enables resident representatives to obtain independent, short-term expert advice, nationally or regionally. Funds for DSS are provided in line 3.1 of the UNDP financial framework.

Direct beneficiaries: institutions or individuals who receive support aimed at strengthening their capacity to undertake development initiatives. In micro-level interventions, the direct beneficiaries and the target groups may be the same.

Direct execution: a management arrangement whereby UNDP itself assumes responsibility for the management of a project.

Direct payment: payment made by UNDP to a supplier or contractor on behalf of the institution managing the programme or project, under national execution or NGO execution. Such payments are not treated as advances of funds.

Disbursement: the actual amount paid.

Donations: contributions made by private organizations or individuals to programmes and funds under the authority of the Administrator.

E

Earmarking: at the corporate level is the percentage of UNDP's regular (core) resources set aside by Executive Board decision for support to specific programmes, programme support, and biennium support budget purposes. An earmarking is also a notional amount, not yet approved, that is set aside for future commitment to a specific programming activity.

Ecosystem: is a self-sustaining and self-regulating community of organisms interacting with each other and with the environment.

Effectiveness: the extent to which a programme or project achieves its objectives.

Empowerment: the expansion of people's capacities and choices, the ability to exercise choice based on freedom from hunger and deprivation, and the opportunity to participate in, or endorse, decision-making.

Enabling environment: conditions surrounding an activity or system that facilitate the fulfillment of the potential of that activity or system, e.g., supportive laws and policies.

Environment: the combination of external conditions that affect or interact with an organism or other specified system during its lifetime. Environment in the usual sense refers both to natural resources and ecological conditions that affect and can support development. The natural environment includes the land and water ecosystems, climatic conditions and living resources (fauna and flora).

Environmental impact assessment (EIA): a tool for planning and decision-making concerned with identifying, predicting and evaluating the potential environmental effects of public and private development activities.

Environmental management (EM): the strategy by which human activities that affect the environment are organized with a view to maximizing the well-being of people and to preventing and mitigating potential problems by addressing their root causes.

Equity: impartial or just treatment, requiring that similar cases be treated in similar ways.

Evaluation: is a time-bound exercise that attempts to assess systematically and objectively the relevance, performance and success of ongoing and completed programmes and projects.

Execution: the management of a specific UNDP-supported programme or project, which includes accountability for the effective use of UNDP resources.

Executive Committee (EC): the committee of the most senior officials in UNDP; it assists the Administrator in reviewing new as well as revised policies and procedures proposed for his/her approval.

Exit strategy: the plan for phasing out UNDP country office support to national execution, including capacity-building measures.

Expendable equipment: items valued at less than $1,000.

Expenditures: total charges incurred whether paid or unpaid, i.e., the sum of disbursements and unliquidated obligations for the current year in respect of UNDP programme activities and for the biennium in respect of the biennial support budget.

F

Feasibility: the coherence and quality of a programme or project strategy that makes successful implementation likely.

Feedback: (1) as a process, feedback consists of taking information from monitoring and evaluation

activities and using it for decision-making and promoting learning in an organization. (2) Feedback as a product refers to the information generated through monitoring and evaluation, which may include findings, conclusions, recommendations, and lessons from experience.

Financial report: a document produced by the designated institution under national execution and NGO execution that records the current period expenditures against any previous advances of funds, calculates the remaining balance and requests the advance for the next period based on the programme or project work plan and budget.

Finding: a factual statement on a programme or project based on empirical evidence gathered through monitoring and evaluation activities.

Formulation: the process by which an initial idea for cooperation is developed into a formal document (PSD or project document) through which UNDP commits resources.

G

Gender-mainstreaming: the systematic integration of gender equality objectives into organizational policies, programmes, resource allocations and organizational systems and practices. It is a methodology to ensure that women and men participate equally in the development process.

Global cooperation framework: UNDP programme activities of worldwide significance; indicates the proposed use of UNDP resources towards the achievement of the global development objectives concerned.

Global programming: programming of UNDP cooperation to implement global mandates and to respond to global development opportunities and challenges.

Governance: the exercise of political, economic and administrative authority in the management of a country's affairs at all levels. Governance is a neutral concept comprising the complex mechanisms, processes, relationships and institutions through which citizens and groups articulate their interests, exercise their rights and obligations and mediate their differences.

Government cash counterpart contribution (GCCC): an arrangement in which a Government makes local currency contributions to finance locally available project inputs as may be agreed in the programme or project document.

Government contributions to local office costs (GLOC): contributions in the form of cash, or by provision in kind of specific goods, services and facilities that the host Government makes towards the expenses of maintaining the UNDP country office.

Government coordinating authority: the focal point on behalf of a Government that has overall responsibility for UNDP-supported activities and communicates with UNDP on programme and project matters.

Government cost sharing: the modality by which a programme country Government allocates its own funds as a contribution to a UNDP-supported programme or project.

Government counterpart contribution: the agreed share of project costs to be contributed in cash or in kind by the recipient Government. (See also **GCCC**.)

Guidelines: tools to facilitate and guide certain actions and processes, usually outlining steps or tasks to follow.

Immediate objective: the purpose or short-term goal representing the desired result that a programme or project seeks to achieve. The immediate objective is also referred to as the programme support objective.

Impact: the result of a programme or project in relation to the development objectives or long-term goals. They are the changes that the intervention helped bring about.

Indicative planning figures (IPFs): until 1996, the regular (core) resources available from UNDP during a specified period for financing assistance to country and intercountry programmes and projects. The IPF was replaced by the TRAC system.

Indicator: a signal that helps to measure change in terms of quantity, quality and timeliness.

Inputs: the personnel, goods and services used to carry out programme or project activities.

input-output budgeting: budgeting that organizes outputs, activities and inputs so that outputs can be planned and monitored according to their respective costs.

Inter-agency letter of agreement (IALA): a document delineating the responsibilities of a United Nations agency collaborating with another United Nations agency that is managing a UNDP-supported project.

Intercountry: activities carried out in cooperation with two or more countries.

inter-office voucher (IOV): a form that records payments made by country offices. The form is filled out each month by country offices and forwarded to the UNDP Accounts section.

Inventory: a list of all non-expendable equipment valued at more than $1,000.

J

Joint Consultative Group on Policies (JCGP): an inter-agency forum which consisted of UNDP, UNICEF, WFP, UNFPA and IFAD. Collaboration on inter-agency matters now takes place through the United Nations Development Group (UNDG).

L

Least developed countries (LDCs): countries recognized by the United Nations as low-income countries encountering long-term impediments to economic growth, particularly, low levels of human resources development and severe structural weaknesses. The main purpose of constructing a list is to guide donor agencies and countries in allocating development assistance.

Legitimacy: the degree to which a government's procedures for making and enforcing laws are acceptable to the people. A legitimate system is legal, but more important, citizens believe in its appropriateness and adhere to its rules.

Lesson learned : learning from experience that is applicable to a generic situation rather than to a specific circumstance.

Letter of agreement (LOA): a document delineating the responsibilities of two parties to the agreement, the activities for which the parties will be responsible, and the corresponding financial arrangements.

Local office costs: See government contributions to local office costs **(GLOC)**.

Logical framework: also referred to as "logframe"; is a methodology that logically relates the main elements in programme and project design and helps to ensure that the intervention is likely to achieve measurable results. The "logframe matrix" can be used to summarize and ensure consistency among objectives, outputs, activities and inputs, and to identify important risks or assumptions.

M

Management services: provide managerial and administrative support to programmes and projects at the request of the Government.

Management support unit (MSU): established to support the management and administration of programmes and projects, where these tasks cannot be handled by existing government mechanisms.

Micro-capital grant: financial input to a programme or project not exceeding $150,000 to support NGOs and community-based organizations.

Monitoring: a continuing function that aims primarily to provide programme or project management and the main stakeholders of an ongoing programme or project with early indications of progress or lack thereof in the achievement of programme or project objectives.

Multi-year funding framework (MYFF): UNDP's principal strategic planning instrument as a corporate entity. It consists of two basic elements: (a) a strategic results framework (SRF); and (b) an integrated resources framework that brings together all financial allocations for programme, programme support, support to the United Nations and management and administrative costs.

N

National execution: the management of a programme or project in a specific programme country carried out by an eligible government entity of that country.

National programme: a coherent set of interrelated policies, strategies, activities and investments designed to achieve a specific, time-bound national development objective or set of objectives. It is usually represented by a formal government document that outlines all requirements as well as management arrangements.

National Technical Cooperation Assessment and Programme (NATCAP): a broad assessment of technical cooperation needs conducted by UNDP at the request of a Government with the objective of enabling the Government to strengthen its ability to direct, manage and control technical cooperation inputs from all sources of assistance. As a planning mechanism, a NATCAP provides a framework for coordination of technical cooperation programmes from all donor sources and a link to country programming.

Natural resources: all those renewable elements of the ecosphere, such as water and terrestrial and aquatic biomass; non-renewable elements, such as land in general, minerals, metals and fossil fuels; and semi-renewable elements, such as soil quality and the assimilative capacity of the environment.

Net contributor countries: programme countries with GNP per capita above $4,700 to which specific programming arrangements apply.

Non-credit: an activity that refers to UNDP support to an institution which does not involve lending by that institution.

Non-expendable equipment: refers to items valued at $1,000 or more.

Non-governmental organization (NGO): any non-profit organization, group or institution that operates independently from a Government and has humanitarian or cooperative, rather than commercial objectives.

NGO execution: a management arrangement whereby an NGO assumes responsibility for the management of a UNDP-supported project.

O

Objective: the purpose or goal representing the desired result that a programme or project seeks to achieve.

Obligation: an engagement involving a liability against the resources of the current year in respect of UNDP programme activities and the current biennium in respect of the biennial support budget.

Operating fund account (OFA): a financial account that records UNDP advances of funds and disbursement by the institution designated for the programme or project under national execution and NGO execution. Gains and losses resulting from fluctuations in the United Nations rate of exchange are also recorded in the OFA.

Operating unit: a country office, a regional bureau or a trust fund.

Operational policies and procedures: all UNDP policies and procedures whether in administration, finance, personnel or programme.

Other resources: (also referred to as non-core resources) are the resources of UNDP, other than regular (or core) resources, which are received for a specific programme purpose consistent with the mandate of UNDP.

Outcomes: results of a programme or project relative to its immediate objectives that are generated by the programme or project outputs. Under the overall UNDP results framework, outcomes are changes in development conditions that UNDP interventions are seeking to support. They are generally the results of collective interventions of development partners and not the results of a single intervention.

Outputs: tangible products, including services, of a programme or project that are necessary to achieve its objectives.

P

Parallel financing: an arrangement in which UNDP and other bilateral and or multilateral donors agree in advance on specific parts of a programme to be financed by each separately, and whereby each party is responsible for the resources it contributes and for carrying out their respective components of the programme.

Participation: taking part in an activity. Effective participation means individuals have an adequate and equal opportunity to voice their concerns and to express their preferences. Participation can occur directly or through legitimate representatives.

Performance: the extent to which a programme or project is being implemented in an effective and efficient manner.

Personnel: staff of an organization and other persons employed by the organization, under other contractual arrangements, to perform services for UNDP programme activities or for programme support.

Pipeline: an accumulation of planned programme or project activities for which UNDP support is being considered.

Policy: a corporate, national or other course or plan of action that directs the operations in a certain domain or sector; it consists of strategic goals and guidelines on how they are to be achieved.

Pollution: undesirable change in the physical, chemical or biological characteristics of the air, water and land, which can threaten the health or survival of humans or other living organisms.

Preparatory assistance (PA): the provision of UNDP assistance to a Government, prior to the approval of full assistance for the implementation of a PSD or project, for the purpose of project formulation or for undertaking other preliminary work related to the programme or project. Approval of PA does not constitute a commitment to approve UNDP assistance to the project.

Principal project representative (PPR): In the case of regional programmes and projects, the resident representative in the host country will normally be appointed as the PPR, with primary responsibility for the monitoring and evaluation of the regional programme or project in cooperation with the executing agent and the resident representatives in the other participating countries.

Procedures: steps that set out clearly what is to be done by whom in order to translate a policy into action. They are described and disseminated in manuals and staff members can be held accountable for their application (See also **Guidelines**).

Procurement: the process of acquiring inputs for a programme or project.

Programme: 1. a time-bound intervention similar to a project but which cuts across sectors, themes or geographic areas, uses a multi-disciplinary approach, involves more institutions, and may be supported by several different funding sources. 2. an independent accounting entity, established by a resolution of an appropriate legislative organ, which specifies in whom responsibility for both executive direction and legislative guidance is vested.

Programme activities: activities funded from UNDP resources and directly associated with the accomplishment of UNDP's mandate, through either projects or support to national programmes (coherent sets of interrelated policies, strategies, activities and investments designed to achieve a specific time-bound national development objective or set of objectives). UNDP programme activities are planned and carried out through the means of a signed project document or PSD and its revisions, covering the agreed arrangements for the implementation of UNDP programme activities.

Programme advisory committees (PACs): committees established in country offices and at headquarters in each bureau, fund or programme to review and make recommendations on the quality of a programme or project.

Programme approach: a process which allows Governments to articulate national priorities and realize sustainable human development objectives through a coherent and participatory national programme framework. It permits all donors, under government leadership, to support one or several components of the national programme framework.

Programme logistical support (PLS): a project or a component of a project or PSD that provides logistical support to programmes and projects.

Programme Management and Oversight Committee (PMOC): the committee of senior managers responsible for examining and endorsing new/revised programme policies for subsequent submission to the Executive Committee, for approving related procedures, and for ensuring consistency of these policies and procedures with the intent and principles of UNDP 2001.

PMOC Sub-committee: the committee of principal units responsible for developing policies and procedures, and producing the UNDP manuals, that ensure the coordination of UNDP operational policies and procedures.

Programme support: within the context of the form of presentation of the biennial support budget, this refers to organizational units whose primary function is the development, formulation, delivery and evaluation of UNDP's programmes. This will typically include units that provide backstopping of programmes on a technical, thematic, geographic, logistical or administrative basis.

Programme support document (PSD): the legal instrument that UNDP uses to define its assistance to an integrated national programme. The PSD allows UNDP to offer assistance to one or more components of a national programme.

Programme support objective: the purpose or short-term goal representing the desired result that a programme seeks to achieve. The programme support objective is also referred to as the immediate objective.

Project: in the context of UNDP cooperation, a separately identified development undertaking of one or more Governments and assisted by UNDP. It is a time-bound intervention that consists of a set of planned, interrelated activities aimed at achieving defined objectives.

Project delivery reports (PDRs): quarterly expenditure statements issued by United Nations agencies.

Project document: a legal agreement which binds the signatories to undertake defined activities and to provide specific resources over a fixed period of time in order to reach agreed objectives.

R

Rating system: an instrument for forming and validating a judgement on the relevance, performance and success of a programme or project through the use of a scale with numeric, alphabetic and/or descriptive codes.

Recommendation: proposal for action to be taken in a specific circumstance, including the parties responsible for that action.

Region: one of the following five geographic areas in which UNDP works: Africa, Arab States, Asia and the Pacific, Europe and the Commonwealth of Independent States, and Latin America and the Caribbean.

Regional cooperation framework (RCF): a document articulating UNDP programme activities of regional significance. Includes a resource mobilization table outlining the resources expected to be mobilized and used towards the achievement of the regional development objectives concerned.

Regional programming: programming of UNDP cooperation for groups of countries at the subregional or regional level. Regional programming involves activities that are common to several countries within one region.

Regular resources: the resources of UNDP that are co-mingled and united. Include pledges of voluntary contributions, other governmental or intergovernmental payments, donations from non-governmental sources and related interest earnings and miscellaneous income.

Relevance: the degree to which the objectives of a programme or project remain valid within the immediate context and external environment of that programme or project.

Renewable resource: resource that potentially cannot be used up because it is constantly or cyclically replenished or regenerated.

Resident coordinator: the coordinator of the operational activities for development of the United Nations system within a country. The Secretary-General of the United Nations designates the resident coordinator. The UNDP resident representative is normally the resident coordinator.

Resource mobilization strategy: the strategy used to secure funds for UNDP-supported programmes. UNDP places highest priority on mobilizing resources from a variety of contributors.

Resource mobilization target (RMT): the United States dollar amount reflected in the RMT table of the CCF or RCF that UNDP and Governments aim to mobilize to cover the costs of implementing the programmes and projects in the framework.

Results: a broad term used to refer to the effects of a programme or project. The terms outputs, outcomes, and impact describe more precisely the different types of results at various levels of aggregation.

Revision: making substantive or financial adjustments to a programme support or project document.

Risks: factors outside the control of the parties responsible for undertaking a programme or project that may adversely affect implementation. They can affect delivery of inputs, carrying out of activities, production of outputs and achievement of objectives.

Round tables: periodic meetings between the Government of a programme country and its major aid partners (donor Governments and multilateral financing organizations) for the purpose of mobilizing additional external assistance. As designated lead agency for the round-table process, UNDP assists the Government in the planning, management and administration of round-table activities.

S

Stakeholders: people, groups or entities that have a role and interest in a programme or project. They include target groups, direct beneficiaries, those responsible for ensuring that the results are produced as planned, and those accountable for the resources that they provide to the programme or project. (See **Target groups** and **Direct beneficiaries**.)

Standard basic assistance agreement (SBAA): the legal document between a programme country Government and UNDP that specifies the basic conditions under which UNDP assists the Government in carrying out its development programmes. The agreement specifies the UNDP privileges and immunities, the forms of assistance, the management arrangements, the role of the Government, resources, costs and general provisions.

Strategic evaluation: an evaluation of a particular issue where timing is especially important owing to the urgency of the issue which poses high risks to and may have generated widely conflicting views from stakeholders.

Strategic framework: a planning tool that outlines political, humanitarian and development programmes for recovery in post-crisis settings and promotes coherence of efforts between national and international partners. The framework is similar to a national plan or a UNDAF and may be used where there is no functioning government.

Strategic results framework (SRF): a planning instrument, consisting of seven categories in which UNDP aims to achieve results. It is the primary planning instrument for country, regional and global programmes and represents a key management tool for UNDP headquarters and the country offices and funds associated with UNDP.

Success: a favourable programme or project result that is assessed in terms of effectiveness, impact, sustainability and contribution to capacity development.

Successor programming arrangements (SPA): the arrangements for the distribution and use of UNDP regular resources decided by the UNDP Executive Board in its decision 95/23. These arrangements introduced the TRAC system and three-year rolling resource planning, and replaced the previous IPF five-year cycle.

Support costs: the partial reimbursement of costs incurred by an eligible United Nations entity in its administration of UNDP programme or project activities. (See also **AOS**, **SPPD** and **STS**).

Support for policy and programme development (SPPD): an arrangement that reimburses eligible United Nations agencies and United Nations regional commissions for a portion of their costs in providing specific policy and programme development services to UNDP programming.

Support for technical services (STS): an arrangement that reimburses United Nations agencies and United Nations regional commissions for a portion of their costs in providing technical support services to UNDP programmes and projects, at various stages of the programme or project cycle.

Sustainability: with regard to development assistance, means that the individuals, institutions and systems assisted by UNDP continue to function effectively after external support has ceased and, in fact, have the capacity to improve continuously their ways of working.

Sustainable development: received wide international attention following its endorsement in the 1987 report by the World Commission on Environment and Development. The Commissioners defined it as development that meets the needs of the present without limiting the potential to meet the needs of future generations.

Sustainable human development (SHD): an integrated, multi-disciplinary approach to development, which places people at the centre of the development process and advocates the protection of life opportunities for present and future generations while respecting the natural systems upon which all life depends.

Synergy: interaction of two or more efforts in which the overall effect is greater than that resulting from the separate efforts.

T

Target groups: the groups of people that a programme or project intends to benefit.

Third-party cost sharing: the modality by which bilateral donor Governments, international financial institutions and private entities contribute funds to individual programmes and projects. A standard cost-sharing agreement is the legal agreement between UNDP and the donor.

TRAC (Target for resource assignment from the core): the level of funding that UNDP expects to make available from regular (core) resources during a specified period to finance UNDP programming at the country level.
TRAC 1, TRAC 2 and TRAC 3: The three-tier TRAC replaces the former IPF system. TRAC 1 is earmarked by country according to the distribution methodology approved by the Executive Board; TRAC-2 is earmarked by region for subsequent application at the country level based on programme quality;

TRAC-3 sets aside 5 per cent of UNDP regular (core) resources for countries in special development situations.

Transparency: sharing information and acting in an open manner. Transparency in procurement means that the selection process gives equal information to all candidates and suppliers, with clear selection criteria and that several persons participate in the decision-making.

Trust fund: a separate accounting entity established by the Administrator under which UNDP receives contributions in addition to the regular (core) resources to finance UNDP programme activities agreed with the contributor.

U

Umbrella projects: encompass project activities of limited scope and duration that cannot be incorporated into existing projects and for which the formulation of a stand-alone project is unwarranted.

United Nations agency execution: a management arrangement whereby a United Nations agency assumes responsibility for the management of a UNDP-supported programme or project.

United Nations Development Assistance Framework (UNDAF): a planning and resources framework for the country programmes and projects of agencies in the United Nations system. It is developed on the basis of the analysis and assessment of the common country assessment (CCA).

UNDP-administered funds: also known as funds administered by UNDP or funds in association with UNDP, are special trust funds established by the Administrator at the request of the Secretary-General to respond to resolutions of the Security Council or General Assembly.

UNDP financial regulations and rules: a regulation is a decision of the Executive Board that regulates the functioning of UNDP; a rule is a decision of the Administrator on how UNDP applies the regulations.

United Nations exchange rate: the official monetary exchange rate between US dollars and other currencies used by the United Nations for all financial transactions.

V

Verifier or "Means of verification": the source of data or information to verify progress using certain indicators; used in logical framework analysis.

Voluntary contributions: contributions to UNDP regular resources from Governments of States Members of the United Nations, of the specialized agencies or of the International Atomic Energy Agency. (See **Contributions**.)